

03-09-01

A

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |  |  |
|---|--|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) | Attorney Docket No.                      | 1912-001   |
|   | First Inventor or Application Identifier | Robert Champion, et al.  |
|   | Title                                    | Techniques For Generating and Managing Electronic Investment ..... |
|   | Express Mail Label No.                   | EK356557314US  |

|  |   |
|--|---|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents.  | <b>ADDRESS TO:</b> Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231   |
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original and a duplicate for fee processing)   | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix)  |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 26]<br>(preferred arrangement set forth below)<br>- Descriptive title of the Invention<br>- Cross References to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to Microfiche Appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure   | 6. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)<br>a. <input type="checkbox"/> Computer Readable Copy<br>b. <input type="checkbox"/> Paper Copy (identical to computer copy)<br>c. <input type="checkbox"/> Statement verifying identity of above copies  |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 13]<br>4. Oath or Declaration [Total Pages 3]<br>a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br>(for continuation/divisional with Box 16 completed)<br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br>Signed statement attached deleting<br>inventor(s) named in the prior application,<br>see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | <b>ACCOMPANYING APPLICATION PARTS</b><br>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))<br>8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br>(when there is an assignee)<br>9. <input type="checkbox"/> English Translation Document (if applicable)<br>10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations<br>11. <input type="checkbox"/> Preliminary Amendment<br>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)<br>13. <input type="checkbox"/> * Small Entity Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)<br>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)<br>15. <input type="checkbox"/> Other: ..... |

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28)

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_/\_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_  
 For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|  |                                   |           |                        |          |              |
|--|-----------------------------------|-----------|------------------------|----------|--------------|
| <b>17. CORRESPONDENCE ADDRESS</b>  |                                   |           |                        |          |              |
| <input type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or <input checked="" type="checkbox"/> Correspondence address below |                                   |           |                        |          |              |
| Name   | Steven R. Bartholomew, Esq.       |           |                        |          |              |
| Address  | 60 East 42nd Street<br>41st Floor |           |                        |          |              |
| City   | New York                          | State     | NY                     | Zip Code | 10165        |
| Country  | USA                               | Telephone | 212 551 5000 Ext. 4102 | Fax      | 212 949 9623 |

|                   |                              |                                   |               |
|-------------------|------------------------------|-----------------------------------|---------------|
| Name (Print/Type) | Steven R. Bartholomew        | Registration No. (Attorney/Agent) | 34,771        |
| Signature         | <i>Steven R. Bartholomew</i> | Date                              | March 8, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)**750.00**

## Complete if Known

|                      |                 |
|----------------------|-----------------|
| Application Number   | New Application |
| Filing Date          | March 8, 2001   |
| First Named Inventor | Robert Champion |
| Examiner Name        | To Be Assigned  |
| Group / Art Unit     | To Be Assigned  |
| Attorney Docket No.  | 1912-001        |

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **08-2776**

Deposit Account Name **Hopgood, Calimafde, Judlowe & Mondolino**

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |          |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for reexamination                                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 380                    | 216 190                    | Extension for reply within second month                                    |          |
| 117 870                    | 217 435                    | Extension for reply within third month                                     |          |
| 118 1,360                  | 218 680                    | Extension for reply within fourth month                                    |          |
| 128 1,850                  | 228 925                    | Extension for reply within fifth month                                     |          |
| 119 300                    | 219 150                    | Notice of Appeal   |          |
| 120 300                    | 220 150                    | Filing a brief in support of an appeal                                     |          |
| 121 260                    | 221 130                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,210                  | 241 605                    | Petition to revive - unintentional   |          |
| 142 1,210                  | 242 605                    | Utility issue fee (or reissue)   |          |
| 143 430                    | 243 215                    | Design issue fee   |          |
| 144 580                    | 244 290                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Petitions related to provisional applications                              |          |
| 126 240                    | 126 240                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 690                    | 246 345                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 690                    | 249 345                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**40.00**

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 690                    | 201 345                    | Utility filing fee     | 710.00   |
| 106 310                    | 206 155                    | Design filing fee      |          |
| 107 480                    | 207 240                    | Plant filing fee       |          |
| 108 690                    | 208 345                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

SUBTOTAL (1) (\$)**710.00**

### 2. EXTRA CLAIM FEES

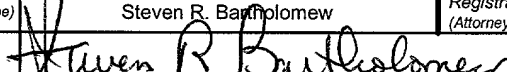
| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 15                 | -20** = 0    | 0              | 0        |
| 1                  | -3** = 0     | 0              | 0        |
| Multiple Dependent |              |                |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 78                     | 202 39                     | Independent claims in excess of 3                          |
| 104 260                    | 204 130                    | Multiple dependent claim, if not paid                      |
| 109 78                     | 209 39                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)**0**

## SUBMITTED BY

|                   |   |                                   |        |           |                          |
|-------------------|---|-----------------------------------|--------|-----------|--------------------------|
| Name (Print/Type) | Steven R. Bartholomew   | Registration No. (Attorney/Agent) | 34,771 | Telephone | (212) 551-5000 Ext. 4102 |
| Signature         |  |                                   |        | Date      | March 8, 2001            |

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

## Certificate of Express Mail

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail in an envelope addressed to:

Box: Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

on March 8, 2001  
Date

Mary Nagle  
Signature

Mary Nagle

Typed or printed name of person signing Certificate

**Express Mail Label No.: EK356557314US**

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.


Utility Patent Appl. Transmittal; Fee Transmittal;  
26 pages Specification  
13 Sheets Drawings (Figs. 1-10)  
Declaration (Signed)  
Assignment Papers (Cover sheet & documents)  
Check for \$750.00  
Return Receipt Postcard

**Docket No.: 1912-001**

## NOTARIAL CERTIFICATE

TO ALL TO WHOM THESE PRESENTS SHALL COME:

I, E Scott Swainson of Appleby, Spurling & Kempe, The Swan Building, 26 Victoria Street, Hamilton HM 12 in the Islands of Bermuda, a Notary Public, **HEREBY CERTIFY** that on the day of the date hereof before me personally appeared **VALERE B COSTELLO** to me known to be the party named in the annexed Assignment Application who did before me sign the said Assignment Application for the purposes therein expressed and that the signature



.....

subscribed to the said Assignment Application is the signature and handwriting of the said **VALERE B COSTELLO**.

IN TESTIMONY WHEREOF I the said )  
Notary Public have hereunto set my )  
hand and affixed my Official Notarial )  
Seal this 5<sup>th</sup> day of March )  
Two thousand and one )



NOTARY PUBLIC

